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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/696,693

Filing Date October 25, 2000

First Named Inventor William Fitzpatrick, et al

Group Art Unit 2161

Examiner Name Not yet assigned

Total Number of Pages in This Submission 11

Attorney Docket Number 4797-30

Technology Center 2100

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ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☒ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
Statement under 37 C.F.R. §3.73(b);
Declaration of ownership pursuant to 37 C.F.R. §2.20; Certificate of amendment from Delaware Secretary of State; Incumbency certificate; Request to change attorney docket number; Return receipt postcard.

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

Leslie Gladstone Restaino, Reg. No. 38,893

Signature

Date

10/10/2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

October 10, 2001

Typed or printed name

Joyce Sapjeta

Signature

Date

10/10/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: William Fitzpatrick, et al. Group Art Unit: 2161
Serial No.: 09/696,693 Examiner: Not yet assigned
Filed: October 25, 2000
Attorney Docket No.: 4797-30
For: **SYSTEM FOR PROVIDING FINANCIAL SERVICES**

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September 13, 2001

Assistant Commissioner for Patents
Washington, D.C. 20231

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REQUEST TO CHANGE ATTORNEY DOCKET NUMBER

Applicants request a change of the attorney docket number in this application
from 4034-48 to 4797-30.

Respectfully submitted,



Leslie Gladstone Restaino
Reg. No. 38,893
Attorney for Applicants
BROWN RAYSMAN MILLSTEIN
FELDER & STEINER LLP
55 Madison Avenue
Morristown, New Jersey 07960
(973) 285-3242



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: William Fitzpatrick, et al. Group Art Unit: 2161
Serial No.: 09/696,693 Examiner: Not yet assigned
Filed: October 25, 2000 Docket No. 4797-30
For: **SYSTEM FOR PROVIDING FINANCIAL SERVICES**

55 Madison Avenue
Morristown, NJ 07960
September 28, 2001

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Assistant Commissioner for Patents
Washington, D.C. 20231

POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST

Sir:

UBS PaineWebber Inc., a Delaware corporation, as assignee of record of the entire interest of the above patent application, U.S. Serial No. 09/696,693, hereby revokes all power of attorney previously given.

The following attorneys are hereby appointed with full power of substitution and revocation to prosecute and transact all business in the Patent and Trademark Office connected therewith: Leslie Gladstone Restaino, Reg. No. 38,893; Seth H. Ostrow, Reg. No. 37,410; Frank J. DeRosa, Reg. No. 26,543 and Ralph F. Hoppin, Reg. No. 38,494 of the firm Brown Raysman Millstein Felder & Steiner, LLP, 55 Madison Avenue, Suite 400, Morristown, New Jersey 07960, (973) 285-3222.


Direct all correspondence to:

Leslie Gladstone Restaino, Esq.
Brown Raysman Millstein Felder & Steiner LLP
55 Madison Avenue
Morristown, NJ 07960

Direct all telephone calls to (973) 285-3242.

The assignment of U.S. Serial No. 09/696,693 to PaineWebber Incorporated was recorded in the U.S. Patent and Trademark Office on October 25, 2000 at Reel 011296, Frame 0341.

Attached to this power of attorney is a Statement under 37 C.F.R. §3.73.



John J. Burke, Esq.
Associate General Counsel
UBS PaineWebber Inc.

9/28/01

Date



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: William Fitzpatrick, et al. Group Art Unit: 2161
Serial No.: 09/696,693 Examiner: Not yet assigned
Filed: October 25, 2000 Docket No. 4797-30
For: **SYSTEM FOR PROVIDING FINANCIAL SERVICES**

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55 Madison Avenue
Morristown, NJ 07960
September 7, 2001

Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

STATEMENT UNDER 37 C.F.R. §3.73(b)

Sir or Madam:

UBS PaineWebber, a Delaware corporation, states that it is:

1. [☒] the assignee of the entire right, title, and interest; or
2. [☐] an assignee of an undivided part interest in the above-identified patent application by virtue of either:
 - A. [☐] an assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

OR

- B. [☐] a chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:
 1. From: to:
The document was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.
 2. From: to:
The document was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

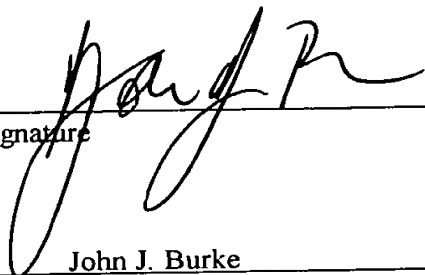
[] Additional documents in the chain of title are listed on a supplemental sheet.

[☒] Copies of assignments or other documents in the chain of title are attached.

The above-mentioned assignee hereby further states that it has all rights to take action in this matter.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: 9/10/01


Signature

John J. Burke
Name

Associate General Counsel
Title



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BT
12-26-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

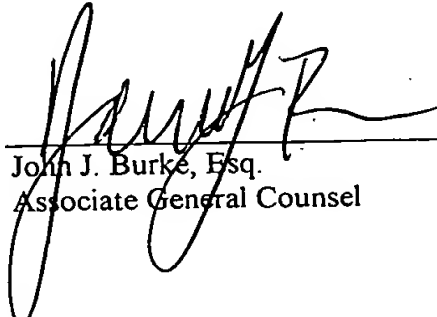
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DECLARATION OF OWNERSHIP PURSUANT TO 37 CFR § 2.20

1. I, John J. Burke, hereby declare that I am an Associate General Counsel for UBS PaineWebber Inc. ("UBS PaineWebber").
2. UBS PaineWebber was formed pursuant to a merger agreement between UBS AG ("UBS") and Paine Webber Group Inc. PaineWebber Incorporated ("PaineWebber") was a wholly owned subsidiary of Paine Webber Group Inc. UBS PaineWebber filed a Certificate of Amendment of Certificate of Incorporation, which is attached hereto, on March 5, 2001, with the Delaware Secretary of State to reflect the corporate name change.
3. UBS PaineWebber, a Delaware corporation with offices at 1200 Harbor Blvd. Weehawken, New Jersey 07087, has acquired all right, title and interest in and to all assets and liabilities of PaineWebber, including all patents, trademarks and other intellectual property of PaineWebber. A list of patent applications currently filed with the U.S. Patent Office is attached hereto as Exhibit A.
4. The undersigned being warned that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and that such willful false statements and the like may jeopardize the validity of the application or document or any registration resulting therefrom, declares that all statements made of his/her own knowledge are true; and all statements made on information and belief are believed to be true.

Dated: September 6, 2001



John J. Burke, Esq.
Associate General Counsel

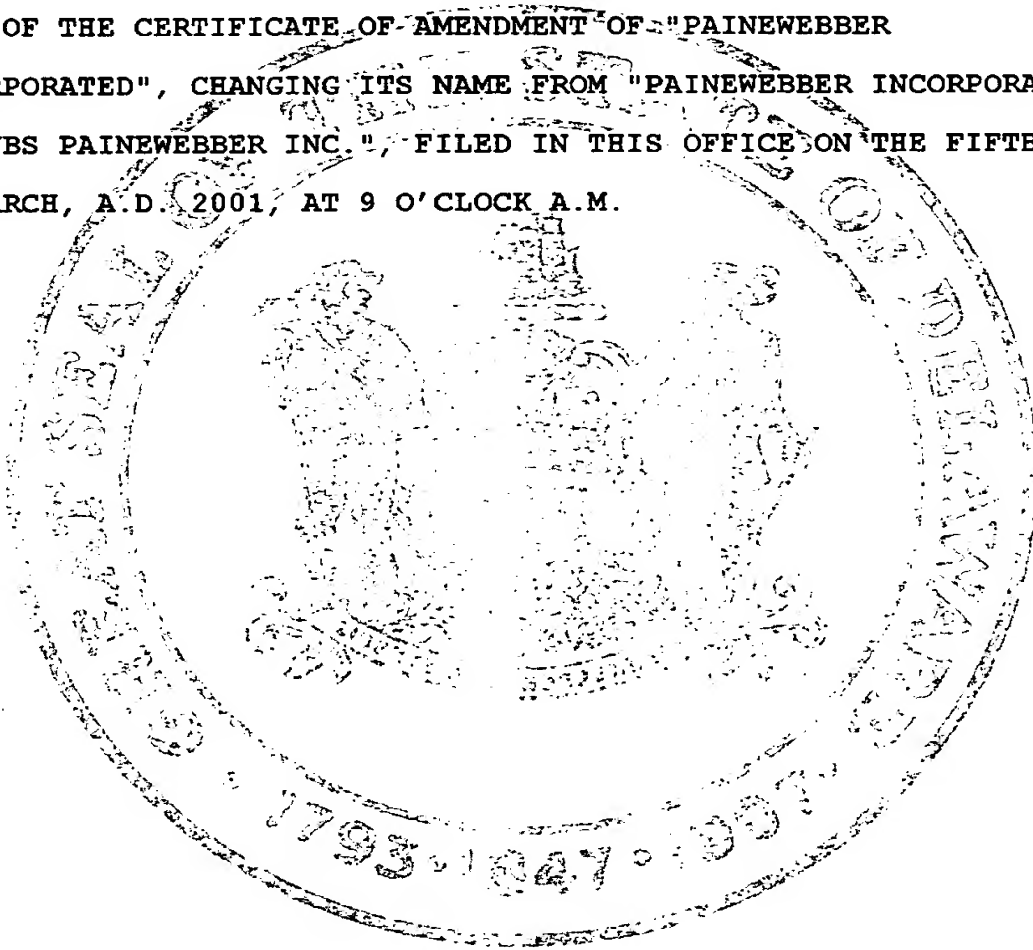


State of Delaware
Office of the Secretary of State

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I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "PAINWEBBER INCORPORATED", CHANGING ITS NAME FROM "PAINWEBBER INCORPORATED" TO "UBS PAINWEBBER INC.", FILED IN THIS OFFICE ON THE FIFTH DAY OF MARCH, A.D. 2001, AT 9 O'CLOCK A.M.



Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State

0719006 8100

AUTHENTICATION: 1245744

010336619

DATE: 07-16-01



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STATE OF DELAWARE
SECRETARY OF STATE
DIVISION OF CORPORATIONS
FILED 09:00 AM 03/05/2001
010107716 - 0719006

CERTIFICATE OF AMENDMENT OF CERTIFICATE OF INCORPORATION
OF
PAINWEBBER INCORPORATED

It is hereby certified that:

1. The name of the corporation (hereinafter called the "corporation") is PaineWebber Incorporated.
2. The certificate of incorporation of the corporation is hereby amended by striking out Article I thereof and by substituting in lieu of said Article I the following new Article I:

ARTICLE I

NAME

The name of the corporation is:

UBS PaineWebber Inc.

3. The amendment of the certificate of incorporation herein certified has been duly adopted and written consent has been given in accordance with the provisions of Sections 141, 228 and 242 of the General Corporation Law of the State of Delaware.

Signed on *march 5, 2001*

By: *Geraldine L. Banyai*
Geraldine L. Banyai, Corporate Vice President

Attest: *Richard P. Borovoy*
Richard P. Borovoy, Assistant Secretary



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UBS PAINEWEBBER INC.

Incumbency Certificate

I, Richard P. Borovoy, Assistant Secretary of UBS PaineWebber Inc., a Delaware corporation (the "Company"), DO HEREBY CERTIFY as follows:

The below-named person has been duly elected, has duly qualified and at all subsequent times to and including the date hereof, has been an officer of the Company, holding the office set opposite his name, and the signature below set opposite his name is his genuine signature or true facsimile thereof:

Name

Office

Signature

John J. Burke

Corporate Vice President

IN WITNESS WHEREOF I have hereunto set my hand and affixed the seal of the Corporation this 19th day of March, 2001.

Assistant Secretary